



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/774,768	01/31/2001	Dror Segal	32941 070591.0135	5534
21003	7590	03/31/2005	EXAMINER	
BAKER & BOTTS 30 ROCKEFELLER PLAZA NEW YORK, NY 10112			SHAH, ANKEETA	
			ART UNIT	PAPER NUMBER
			3628	

DATE MAILED: 03/31/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No.	Applicant(s)	
	09/774,768	SEGAL ET AL.	
	Examiner	Art Unit	
	Ankeeta Shah	3628	

– The MAILING DATE of this communication appears on the cover sheet with the correspondence address –  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 20 December 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 31 January 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)             | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)    | Paper No(s)/Mail Date. _____  |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____   | 6) <input type="checkbox"/> Other: _____                                    |

DETAILED ACTION

***Claim Rejections - 35 USC § 103***

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 1-4,7 and 11-14 rejected under 35 U.S.C. 103(a) as being unpatentable over Kenney (US PAT 6,381,583) in view of You Are About To Travel Into Another Reality (Hereafter Reality, You Are About To Travel Into Another Reality, Tom Ashbrook, Boston Globe, July 28, 1988 pg 5).

**Re Claim 1:** Kenney discloses: A method for displaying data representing the operation of an virtual shopping facility, comprising: maintaining data representing a three dimensional model, said model including surfaces (see Fig 4); receiving and maintaining in a computer memory data (see Fig 9); generating a two dimensional display representing a selected aspect view of said three dimensional model (see Fig 8), said two dimensional display including perspective views of at least some of said surfaces of said model(see col10, 8-17); generating alphanumeric images of selected data representing operations(see col10, 8-17); and mapping said alphanumeric images onto selected ones of said perspective views(see col10, 8-17).

Art Unit: 3628

Kenny does not disclose their environment being the operation of an exchange.

Reality discloses the operation of stock market (see pg 1-2).

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the method of Kenny to create a three-dimensional trading floor as disclosed by Reality to make it easy for the buyer/seller to feel that they are in an actual trading floor.

**Re Claim 2:** Kenny discloses: A method wherein there is provided the further steps of: changing said selected aspect view of said three dimensional model (see col12, 51-58); generating a further two dimensional display representing said changed aspect view, said further two dimensional display including further perspective views of at least some of said surfaces of said model (see col10, 8-17); and mapping said alphanumeric images onto selected ones of said further perspective views in said further two-dimensional display(see col10, 8-17).

**Re Claim 3:** Kenny discloses: A method wherein portions of said two dimensional display are selectable, said selectable display portions being operable when selected for displaying further data correlated to said selectable display portions (see col2, 29-39).

**Re Claim 4:** Kenny discloses: A method wherein at least some of said selectable display portions comprise said perspective aspect views (see col2, 29-39), and wherein

Art Unit: 3628

said further data is correlated to data represented by said alphanumeric images mapped onto said perspective aspect views (see col10, 8-17).

**Re Claim 7:**Kenny discloses: A method, wherein said alphanumeric images comprise identification of said items (see col10, 8-17).

Kenny does not disclose the identification of securities. Reality discloses the operation of stock market (see pg 1-2). Securities are bought/sold at the stock market.

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the method of Kenny by adapting the teaching of Reality to identify the securities to make it easy for the buyer/seller to feel that they are in actual trading floor.

**Re Claim 11:** Kenny discloses: A system for providing an interactive display of data having at least one data source (see col12, lines 6-7), comprising: a computer system, configured and programmed to: (a) maintain data representing a three dimensional model (see col8, lines 17-20), said model including surfaces; (b) receive data from said at least one data source (see col8, lines 20-26); (c) format and normalize said data to provide formatted data of a predetermined format (see col8, lines 17-20); (d) store and update said formatted data in at least one memory area(see col7, lines 62-66); (e) generate a two dimensional display image of a three dimensional model from a selected aspect view, said display image having perspective views of at least some of said surfaces of said model(see col10, 8-17); (f) generate alphanumeric images of selected data(see col10, 8-17); (g) map said alphanumeric images onto selected ones of said

Art Unit: 3628

perspective views(see col10, 8-17); (h) receive commands designating said aspect view and for retrieving further data and updating said display image(col2, lines 9-11); a control station for use by an operator to provide input commands to said computer system, including commands for selecting said aspect view(see col5, lines 18-22); and at least one monitor for displaying said display image(see col2, lines 35-36).

Kenny does not disclose the operation of an exchange. Reality discloses the operation of stock market (see pg 1-2).

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the method of Kenny by adapting the teaching of Reality to create a virtual trading floor to make it easy for the buyer/seller to feel that they are in actual trading floor.

**Re Claim 12:** Kenny discloses: A system for providing an interactive display of data wherein the computer system (see col1, lines 40-42) is further configured and programmed to: change said selected aspect view of said three dimensional model (see col12, 51-58); generate a further two dimensional display representing said changed aspect view, said further two dimensional display including further perspective views of at least some of said surfaces of said model (see col10, 8-17); and map said alphanumeric images onto selected ones of said further perspective views in said further two-dimensional display(see col10, 8-17).

**Re Claim 13:**Kenny discloses: A system for providing an interactive display of data wherein portions of said two dimensional display are selectable, said selectable display

portions being operable when selected for displaying further data correlated to said selectable display portions (see col2, 29-39).

**Re Claim 14:** Kenny discloses: A system for providing an interactive display of data wherein at least some of said selectable display portions comprise said perspective aspect views (see col2, 29-39), and wherein said further data is correlated to data represented by said alphanumeric images mapped onto said perspective aspect views (see col10, 8-17).

3. Claims 5,6,8-10 and15-20 rejected under 35 U.S.C. 103(a) as being unpatentable over Kenny in view of Reality, and further in view of Braddock III (hereafter Braddock, US PAT 4,412,287)

**Re Claim 5,8,9,10,15,18,19 and 20:** Kenny discloses: A method and system for displaying data, comprising: maintaining data representing a three-dimensional mode(see col8, 17-34); receiving and maintaining in a computer memory data(see col8, 17-34); and generating a two dimensional display representing a selected aspect view of said three dimensional model (see col10, 8-17), said selected aspect view including one or more of said model portions, said model portions having selectable parts being selectable and operative when selected to display further data from said computer memory correlated to said selected parts(see col2, 29-39).

Kenny does not disclose an operation of an exchange having a trading area including a plurality of trading posts whereat selected securities are traded.

Art Unit: 3628

Reality discloses the operation of stock market (see pg 1-2).

Braddock discloses a plurality of trading posts whereat selected securities are traded (see col1, lines 47-53).

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the system of Kenny and Reality by adapting the teaching of Braddock to make it easy for the buyer/seller to feel that they are in an actual trading floor.

**Re Claim 6 and 16:** Kenny discloses: A method and system, wherein said model portions include surfaces and wherein said step of generating a two-dimensional display further comprises (see col10, 8-17) generating alphanumeric images and mapping said alphanumeric images into selected ones of said surfaces in said two-dimensional display, and wherein said surfaces being operative when selected to display further data correlated (see col10, 8-17).

Kenny does not disclose the operation of an exchange including trading posts.

Reality discloses the operation of stock market (see pg 1-2).

Braddock discloses a plurality of trading posts whereat selected securities is traded (see col1, lines 47-53).

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the system of Kenny and Reality by adapting the teaching of Braddock to make it easy for the buyer/seller to feel that they are in actual trading floor.



Art Unit: 3628

**Re Claim 17:**Kenny discloses: A system, wherein said alphanumeric images comprise identification of said items (see col10, 8-17).

Kenny does not disclose the identification of securities. Reality discloses the operation of stock market (see pg 1-2). Securities are bought/sold at the stock market.

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the system of Kenny by adapting the teaching of Reality to identify the securities to make it easy for the buyer/seller to feel that they are in actual trading floor.

### ***Response to Arguments***

Applicant's arguments with respect to claims 1-20 have been considered but are moot in view of the new ground(s) of rejection.

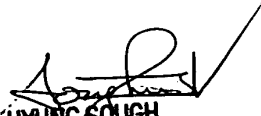
The Affidavit under 37 CFR 1.132 filed 12/20/2004 is sufficient to overcome the rejection of claims 1-20 based upon 102(a) rejection "Virtual reality trading floor adds new dimension", Computerworld. Framingham: March 29, 1999.Vo1.33, Iss 13, pg 67.

### CONCLUSION

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ankeeta Shah whose telephone number is (703) 305-0853. The examiner can normally be reached on M-F 8:30AM - 5:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hyung Sough can be reached on (703) 308-0505. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
HYUNG SOUGH  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 3600